

RECORDS RETENTION SCHEDULE

LG13

Public Library Records

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Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG13

Public Library Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of twenty-four (24) separate sets of records, or series, recognized as those records generated by public libraries. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG13.1.3	Interlibrary Loan Records Requests for books through interlibrary loan system. Includes reverse notices, check-in slips, and hold alerts.	Retain until transaction is complete.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current or pending litigation or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
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337 Westminster Street
Providence, Rhode Island 02903
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State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist _____ & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created. If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

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Record Series No.	Record Series Title and Description	Retention
LG13	Public Libraries	
LG13.1	Circulation Records	
LG13.1.1	Patron Registration Records Application/agreement for borrowing privileges. Includes patron's name, address, old address, phone number, date of birth, driver's license number, and social security number. Note: Any agreement issued by the department or its divisions that acts as a signed agreement on terms and conditions of use should be kept as long as the agreement remains in effect.	Retain three (3) years after last activity.
LG13.1.2	Interlibrary Loan Records Request for books through interlibrary loan system. Includes reserve notices, check-in slips, and hold alerts.	Retain until transaction is complete.
LG13.1.3	Overdue Notices/Fines Notices sent to patrons concerning overdue books and fines owed to library. May include notice of unresolved charges.	Retain until resolution and completion of audit.
LG13.1.4	Collection Records Records that document the collection of fines from overdue and lost books. May include lost and paid forms and collection agency forms.	Retain until resolution and completion of audit.
LG13.1.5	Missing Books Record of books identified as not on the shelf and not circulating and labeled as missing.	Retain until resolution or until copy of book is replaced or removed from system.

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Record Series No.	Record Series Title and Description	Retention
LG13.2	Technical Services	
LG13.2.1	Cataloging Worksheets Bibliographic record created for new accessions. Includes assignment of bar code and request for cataloging to main library branch.	Retain until cataloging record is complete and confirmed by main library.
LG13.2.2	Shelf List Listing of library holdings arranged by shelf location.	Retain until updated, superseded or obsolete.
LG13.2.3	Card Catalog Card or OPAC listing of library holdings by author, title and subject headings.	Retain until updated, superseded or obsolete.
LG13.3	Reference Services	
LG13.3.1	Vertical/Subject Files Reference files maintained by the reference staff to aid in information and referral services.	Weed as necessary. Retain until updated, superseded or obsolete.
LG13.4	Administration	
	General Office Administrative Records Fiscal Records Reference Records	See Records Retention Schedule #1
	Personnel Records Payroll Records	See Records Retention Schedule #2
LG13.4.1	Incorporation Records Records that establish the library as a legal body or entity.	Permanent.

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Record Series No.	Record Series Title and Description	Retention
LG13.4.2	Complaint Reports Complaints reported to library staff. May include reports made by patrons to library staff concerning programming and materials selection and availability, reports by library staff to director, response to complaint and final decision.	Retain three (3) years. <i>Complaints concerning censorship issues (including filtering) should be reviewed for historical value.</i>
LG13.4.3	Incident and Accident Reports Incidents or accidents reported to and by library personnel. May include police/fire/paramedical notification.	Retain three (3) years. If in litigation, retain three (3) years after resolution or final disposition. <i>If minor involved, retain three (3) years after minor reaches the age of eighteen (18) years.</i>
LG13.4.4	Fundraising Records Records that document the fundraising activities by the library. May include but not limited to annual reports, programs and brochures, membership lists and letters, press releases, meeting minutes, and correspondence. (a) One copy of any program/publication and any related photographs, annual reports, meeting minutes pertinent correspondence and press releases. (b) All other records.	Permanent. Retain until no further administrative value.
LG13.4.5	Donation and Endowment Records	Retain until no further

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Record Series No.	Record Series Title and Description	Retention
	Records relating to the establishment and administration of endowments, bequests and donations May record donations made in the memory of an individual, group or corporate body or as a book endowment.	administrative value. Review for historical value.
	Note: Records that document a significant donation or endowment should be retained permanently.	
LG13.4.6	Program and Exhibit Files Documents programs, services and exhibits sponsored or co-sponsored by the library. May include, but not limited to, press releases, copies of brochures and mailings, reading lists, memos and correspondence, clippings, photographs, invitations, registration and evaluation forms, resumes of exhibitors and lists of participants.	
	(a) One copy of program/promotional literature, any related photographs and exhibit documentation.	Permanent.
	(b) Completed evaluation or survey forms	Retain one (1) year.
	(c) Reports, summaries or compilations of responses from survey or evaluation forms.	Permanent.
	(d) All other records.	Retain until no further administrative value.

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Record Series No.	Record Series Title and Description	Retention
LG13.4.7	Disaster Preparedness Plan States the plan of action to be taken in the event of a natural or other disaster in accordance with the suggested plan published by the Office of Library and Information Services. (RIGL 29-6-3(e)) Note: One copy to be deposited at the Office of Library and Information Services	Retain current plan only.
LG13.4.8	Preservation Plan States the preservation needs and objectives of the library for the year. (RIGL 29-6-3(d)) Note: One copy to be deposited at the Office of Library and Information Services	Retain current plan only.
LG13.4.9	Grant Files Records relating to the development of grant proposals to state or federal agencies and the administration of grant awards and programs. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.	

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Record Series No.	Record Series Title and Description	Retention
LG13.4.9 (Continued)	(a) Grant applications and amendments, final performance, disposition and expenditure reports.	Permanent.
	(b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records. See Notes.	Retain ten (10) years from submission of close-out and final expenditure report or submission of annual financial status report for grants renewed annually.
	(c) Real property and equipment records.	Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.
	(d) Income transaction records (earning of income) <u>after</u> grant support. Where required by the terms of the grant. See Notes.	Retain ten (10) years from the end of fiscal year in which the income is earned.
	(e) Unsuccessful grant applications.	Retain three (3) years.
Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.		
Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (§9-1-17).		

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Record Series No.	Record Series Title and Description	Retention
LG13.4.10	Reports Internally generated reports including but not limited to reports and returns to other municipal departments and state agencies. (a) Daily and weekly reports.	Retain one (1) year.
	Note: Reports required in audit process must be retained one (1) year after audit is completed.	
	(b) Monthly, quarterly and periodic reports.	Retain three (3) years.
	(c) Annual and special reports and studies.	Permanent.
LG13.4.11	Certificates of Record Destruction Certification of Records Destruction forms (PRA 003) signed by authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. (RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.)	Permanent.
LG13.4.12	Friends of the Library Records Records which document activities of "Friends of the Library" group, local library association or non-profit group which exists for the purposes of generating funding for services and equipment for the library. May include but are not limited to membership lists/forms, clippings, correspondence, solicitation letters to potential members, programming records including publications/brochures, tickets and press releases, accounting records, annual reports, agendas and meeting minutes. (a) Annual reports, meeting minutes and agendas, one copy of publications and brochures and pertinent correspondence.	Permanent.
LG13.4.12	(b) Accounting records.	Retain until audit plus

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Record Series No.	Record Series Title and Description	Retention
(Continued)	(c) All other records.	six (6) years. Retain until of no further administrative value.
LG13.4.13	Library Boards Boards formed in partnership for purposes of creating and administering new and existing services to the library community. (a) Records that show coordination and long range planning of board or its programs and have authority through public law, executive order or municipal ordinance. May include, but are not limited to, policy manuals, meeting minutes and agendas, clippings, and correspondence. (b) Records that show implementation and administration of program. Records may include but are not limited to agreements, correspondence, monthly and periodic reports documenting activities, statistical reports, surveys and clippings.	Permanent. Retire records when board or program is defunct or retain until no longer of administrative value then review for historical value.
LG13.4.15	Board of Trustee Records Includes meeting notices, lists of board of trustee officers, information regarding board functions, manuals, agendas, meeting minutes and annual reports.	Permanent.
LG13.4.16	Minutes of Meetings Minutes of meetings including agendas and meeting notices.	Permanent.